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PTO/SB/01 (10-01)

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JUN 17 2002

**DECLARATION FOR UTILITY OR
DESIGN
PATENT APPLICATION
(37 CFR 1.63)**

☐ Declaration Submitted with Initial Filing
OR
☒ Declaration Submitted after Initial Filing (surcharge (37 CFR 1.16 (e)) required)

Attorney Docket Number	11321-P021US
First Named Inventor	Richard E. Smalley
COMPLETE IF KNOWN	
Application Number	10/071,166
Filing Date	02/08/2002
Art Unit	1754
Examiner Name	Not yet assigned

As the below named inventor, I hereby declare that:

My residence, mailing address, and citizenship are as stated below next to my name.

I believe I am the original and first inventor of the subject matter which is claimed and for which a patent is sought on the invention entitled:

GAS-PHASE PROCESS FOR PURIFYING SINGLE-WALL CARBON NANOTUBES AND COMPOSITIONS THEREOF

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(Title of the Invention)

the specification of which

☐ is attached hereto

OR

☒ was filed on (MM/DD/YYYY) **02/08/2002** as United States Application Number or PCT International

Application Number **10/071,166** and was amended on (MM/DD/YYYY) (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or (f), or 365(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent, inventor's or plant breeder's rights certificate(s), or any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?	
				YES	NO
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto:

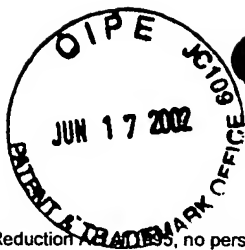
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City			State		ZIP
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Country		Telephone		Fax	
I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.					
NAME OF SOLE OR FIRST INVENTOR :			<input type="checkbox"/> A petition has been filed for this unsigned inventor		
Given Name Richard E. (first and middle [if any])			Family Name SMALLEY or Surname		
Inventor's Signature				Date 5/8/02	
Houston		Texas		US	
Residence: City		State		Country	
Mailing Address 1816 Bolsover Street					
Houston		Texas		77005	
City		State		ZIP	
US		US			
Country		Citizenship			
NAME OF SECOND INVENTOR:			<input type="checkbox"/> A petition has been filed for this unsigned inventor		
Given Name Robert H. (first and middle [if any])			Family Name HAUGE or Surname		
Inventor's Signature				Date	
Houston		Texas		US	
Residence: City		State		Country	
US		US			
Country		Citizenship			
Mailing Address 4031 Turnberry Circle					
Houston		Texas		77025	
City		State		ZIP	
US		US			
Country		Citizenship			
<input checked="" type="checkbox"/> Additional inventors are being named on the <u>2</u> supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto.					



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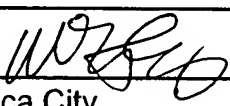
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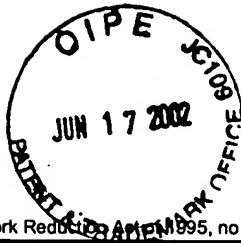
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DECLARATION	ADDITIONAL INVENTOR(S) Supplemental Sheet Page 3 of 4
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Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Wan-Ting Given Name		CHIANG Family Name or Surname	
Inventor's Signature 		05-02-02 Date	
Ponca City Residence: City	OK State	US Country	Taiwan Citizenship
RW 6654 Mailing Address			
1000 S. Pine Street Mailing Address			
Ponca City City	OK State	74602 ZIP	US Country
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Yuemi Given Name		YANG Family Name or Surname	
Inventor's Signature		Date	
Houston Residence: City	TX State	US Country	US Citizenship
3102 Ashton Park Drive Mailing Address			
Mailing Address			
Houston City	TX State	77005 ZIP	US Country
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Kenneth A. Given Name		SMITH Family Name or Surname	
Inventor's Signature		Date	
Houston Residence: City	TX State	US Country	US Citizenship
11322 Birdwing Lane Mailing Address			
Mailing Address			
Houston City	TX State	77067 ZIP	US Country

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DECLARATION

ADDITIONAL INVENTOR(S)
Supplemental Sheet
Page 3 of 4

Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Wan-Ting Given Name		CHIANG Family Name or Surname	
Inventor's Signature		Date	
Ponca City Residence: City	OK State	US Country	Taiwan Citizenship
RW 6654 Mailing Address			
1000 S. Pine Street Mailing Address			
Ponca City City	OK State	74602 ZIP	US Country
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Yuemei Given Name		YANG Family Name or Surname	
Inv ntor's Signature		Date	
Houston Residence: City	TX State	US Country	5/9/2002 Date
3102 Ashton Park Drive Mailing Address			
Mailing Address			
Houston City	TX State	77005 ZIP	US Country
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Kenneth A. Given Name		SMITH Family Name or Surname	
Inventor's Signature		Date	
Houston Residence: City	TX State	US Country	US Citizenship
11322 Birdwing Lane Mailing Address			
Mailing Address			
Houston City	TX State	77067 ZIP	US Country

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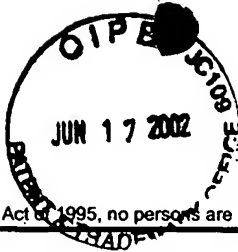
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DECLARATION**ADDITIONAL INVENTOR(S)****Supplemental Sheet**Page 4 of 4

Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Iven Name: Wilbur Carter		Family Name or Surname: KITRELL	
Inventor's Signature: <i>Wilbur Carter Kittrell</i>		Date: <i>6/6/02</i>	
Residence: City: Houston	State: TX	Country: US	Citizenship: US
Mailing Address: 2400 North Braeswood, Apt. 215 315 M.C.A.			
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City: Houston	State: TX	ZIP: 77030	Country: US
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Iven Name: Zhenning		Family Name or Surname: GU	
Inventor's Signature:		Date:	
Residence: City: Houston	State: TX	Country: US	Citizenship: China
Mailing Address: 1515 Bissonnet St., Apt. 151			
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City: Houston	State: TX	ZIP: 77005	Country: US
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name:		Family Name or Surname:	
Inventor's Signature:		Date:	
Residence: City:	State:	Country:	Citizenship:
Mailing Address:			
Mailing Address:			
City:	State:	ZIP:	Country:

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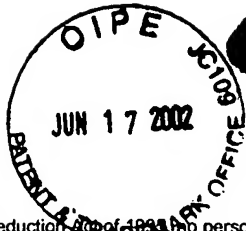
ADDITIONAL INVENTOR(S)

Suppl mental Sh t

Page 4 of 4

Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name Wilber Carter		Family Name or Surname KITTRELL	
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Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name Zhenning		Family Name or Surname GU	
Inventor's Signature <i>Zhenning Gu</i>		Date 05/02/2002	
Residence: City Houston	State TX	Country US	Citizenship China
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Mailing Address			
City Houston	State TX	ZIP 77005 77025	Country US
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name		Family Name or Surname	
Inventor's Signature		Date	
Residence: City	State	Country	Citizenship
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☐ A petition has been filed for this unsigned inventor

Wan-Ting
Given Name

CHIANG
Family Name
or Surname

Inventor's
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Name of Additional Joint Inventor, if any:

☐ A petition has been filed for this unsigned inventor

Yuemi
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YANG
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or Surname

Inventor's
Signature

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Kenneth A.
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SMITH
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or Surname

Inventor's
Signature

5.22.02
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US
Country

US
Citizenship

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Mailing Address

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City

TX
State

77067
ZIP

US
Country

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NAME OF SOLE OR FIRST INVENTOR :

☐ A petition has been filed for this unsigned inventorGiven Name
(first and middle [if any])
Richard E.Family Name
or Surname
SMALLEYInventor's
Signature

Date

Residence: City
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HoustonState
TexasZIP
77005Country
US

NAME OF SECOND INVENTOR:

☐ A petition has been filed for this unsigned inventorGiven Name
(first and middle [if any])
Robert H.Family Name
or Surname
HAUGEInventor's
Signature

Date

Residence: City
HoustonState
TexasCountry
USCitizenship
USMailing Address
4031 Turnberry CircleCity
HoustonState
TexasZIP
77025Country
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